

Clerk of the House of Representatives
Legislative Resource Center
B-106 Cannon Building
Washington, DC 20515
<http://lobbyingdisclosure.house.gov>

Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510
<http://www.senate.gov/lobby>

LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required to Complete This Page

| | | | |
|---|--|--|--|
| 1. Registrant Name <input checked="" type="checkbox"/> Organization/Lobbying Firm <input type="checkbox"/> Self Employed Individual <u>Caterpillar Inc</u> | | | |
| 2. Address Address1 <u>1425 K Street, N.W.</u> Address2 <u>Suite 400</u> City <u>Washington</u> State <u>DC</u> Zip Code <u>20005</u> Country <u>USA</u> | | | |
| 3. Principal place of business (if different than line 2) City <u>Deerfield</u> State <u>IL</u> Zip Code <u>60015</u> Country <u>USA</u> | | | |
| 4a. Contact Name <u>Mr. Christopher J. Myers</u> | | b. Telephone Number <u>2024660671</u> c. E-mail <u>Myers_Chris@cat.com</u> | |
| | | 5. Senate ID# <u>8475-12</u> | |
| 7. Client Name <input checked="" type="checkbox"/> Self <input type="checkbox"/> Check if client is a state or local government or instrumentality <u>Caterpillar Inc</u> | | 6. House ID# <u>313190000</u> | |

TYPE OF REPORT

8. Year 2018 Q1 (1/1 - 3/31) ☒ Q2 (4/1 - 6/30) ☐ Q3 (7/1 - 9/30) ☐ Q4 (10/1 - 12/31) ☐

9. Check if this filing amends a previously filed version of this report ☐

10. Check if this is a Termination Report ☐ Termination Date _____ 11. No Lobbying Issue Activity ☐

INCOME OR EXPENSES - YOU MUST complete either Line 12 or Line 13

| | |
|--|---|
| <p align="center">12. Lobbying</p> <p>INCOME relating to lobbying activities for this reporting period was:</p> <p><u>Less than \$5,000</u> <input type="checkbox"/></p> <p><u>\$5,000 or more</u> <input type="checkbox"/> \$ _____</p> <p>Provide a good faith estimate, rounded to the nearest \$10,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client).</p> | <p align="center">13. Organizations</p> <p>EXPENSE relating to lobbying activities for this reporting period were:</p> <p><u>Less than \$5,000</u> <input type="checkbox"/></p> <p><u>\$5,000 or more</u> <input checked="" type="checkbox"/> \$ <u>1,100,000.00</u></p> <p>14. REPORTING Check box to indicate expense accounting method. See instructions for description of options.</p> <p><input checked="" type="checkbox"/> Method A. Reporting amounts using LDA definitions only</p> <p><input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code</p> <p><input type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code</p> |
|--|---|

Signature Digitally Signed By: Christopher J. Myers

Date 4/20/2018 5:41:13 PM

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code HCR

16. Specific lobbying issues

H.R. 1625 Consolidated Appropriations Act of 2018 (provisions related to the "Bipartisan Health Care Stabilization Act")

General issues relating to health care

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|------------|-------------|--------|---|--------------------------|
| Kai | Hirabayashi | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code LBR

16. Specific lobbying issues

H.R. 2629 "Representation Fairness Restoration Act" (entire bill)

"Occupational Exposure to Respirable Crystalline Silica," Final Rule, 81 Fed Reg. 16285

General issues relating to labor relations

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Executive Office of the President (EOP)

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|------------|-------------|--------|---|--------------------------|
| Kai | Hirabayashi | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TAX

16. Specific lobbying issues

H.R. 1 - Tax Cuts and Jobs Act (entire bill) - P.L.115-97 - Re: implementation

Issues surrounding OECD Base-Erosion & Profit Shifting (BEPS) (no bill number)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Executive Office of the President (EOP), Treasury - Dept of

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|-------------|-------------|--------|---|--------------------------|
| Katie | Hays | | | <input type="checkbox"/> |
| Kai | Hirabayashi | | | <input type="checkbox"/> |
| Christopher | Myers | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code RET

16. Specific lobbying issues

Changes to Pension Nondiscrimination Testing for Defined Benefit Pension Plans (IRS REG-125761-14)

S.852 and H.R. 1968 "Retirement Security Preservation Act of 2017" (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Treasury - Dept of

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|------------|-----------|--------|---|--------------------------|
| Katie | Hays | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code EDU

16. Specific lobbying issues

H.R. 2353 "Strengthening Career and Technical Education for the 21st Century Act" (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE, Executive Office of the President (EOP)

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|------------|-------------|--------|---|--------------------------|
| Kai | Hirabayashi | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code FIN

16. Specific lobbying issues

Nominations for the Export Import Bank Board of Directors (no bill number)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, Executive Office of the President (EOP), U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|-------------|-----------|--------|---|--------------------------|
| Katie | Hays | | | <input type="checkbox"/> |
| Christopher | Myers | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TRD

16. Specific lobbying issues

| |
|---|
| General discussions related to trade policy (no bill number) |
| General discussions related to NAFTA Renegotiation (no bill number) |
| Miscellaneous Tariff Bill Act of 2017 (H.R. 4318/S. 2108) - entire bill |
| Education efforts concerning Department of Commerce 232 case re: Steel Imports (No bill number) |

17. House(s) of Congress and Federal agencies ☐ Check if None

| |
|---|
| U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Executive Office of the President (EOP) |
|---|

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|-------------|-------------|--------|---|--------------------------|
| Katie | Hays | | | <input type="checkbox"/> |
| Kai | Hirabayashi | | | <input type="checkbox"/> |
| Christopher | Myers | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

| |
|--|
| |
|--|

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code ENG

16. Specific lobbying issues

S. 1460: To provide for the modernization of the energy and natural resources policies of the United States (Whole Bill)

S. 1447, H.R. 3107: The Diesel Emissions Reduction Act of 2017 (Whole Bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|------------|-----------|--------|---|--------------------------|
| Jason | Lynn | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TRA

16. Specific lobbying issues

| |
|--|
| Funding for the Highway Trust Fund (No bill number) |
| White House Legislative Outline for Rebuilding Infrastructure in America |

17. House(s) of Congress and Federal agencies ☐ Check if None

| |
|---|
| U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Executive Office of the President (EOP) |
|---|

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|-------------|-----------|--------|---|--------------------------|
| Jason | Lynn | | | <input type="checkbox"/> |
| Christopher | Myers | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

| |
|--|
| |
|--|

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code IMM

16. Specific lobbying issues

Proposed Department of Homeland Security rule, "Removing H-4 Dependent Spouses from the Class of Aliens Eligible for Employment Authorization"

17. House(s) of Congress and Federal agencies ☐ Check if None

Executive Office of the President (EOP), U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|------------|-------------|--------|---|--------------------------|
| Kai | Hirabayashi | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code CPT

16. Specific lobbying issues

S. 1390 "STRONGER Patents Act" (entire bill)

S. 2514 "Preserving Access to Cost Effective Drug Act" (PACED) (entire bill)

General issues relating to patent reform and intellectual property.

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|------------|-------------|--------|---|--------------------------|
| Kai | Hirabayashi | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code BUD

16. Specific lobbying issues

Department of Defense Appropriations Act, 2019 (provisions related "Digital Manufacturing and Design Innovation Institute") (no bill number)

H.R. 3354 DEPARTMENT OF THE INTERIOR, ENVIRONMENT, AND RELATED AGENCIES APPROPRIATIONS BILL, 2018 -
Funding for Diesel Emissions Reduction Act

H.R. 1625 Vehicle for Consolidated Appropriations Act 2018 Title II Diesel Emissions Reduction Act, Title III DOE Non-Road Programs

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

| First Name | Last Name | Suffix | Covered Official Position (if applicable) | New |
|------------|-------------|--------|---|--------------------------|
| Kai | Hirabayashi | | | <input type="checkbox"/> |
| Jason | Lynn | | | <input type="checkbox"/> |

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Information Update Page - Complete ONLY where registration information has changed.

20. Client new address

Address _____
City _____ State _____ Zip Code _____ Country _____

21. Client new principal place of business (if different than line 20)

City _____ State _____ Zip Code _____ Country _____

22. New General description of client's business or activities

LOBBYIST UPDATE

23. Name of each previously reported individual who is no longer expected to act as a lobbyist for the client

| First Name | Last Name | Suffix | First Name | Last Name | Suffix |
|------------|-----------|--------|------------|-----------|--------|
| 1 | | | 3 | | |
| 2 | | | 4 | | |

ISSUE UPDATE

24. General lobbying issue that no longer pertains

| | | | | | | | | |
|--|--|--|--|--|--|--|--|--|
| | | | | | | | | |
|--|--|--|--|--|--|--|--|--|

AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(s)

Internet Address:

| Name | Address | | | | Principal Place of Business (city and state or country) |
|------|----------------|----------------|-----|---------|--|
| | Street Address | | | | |
| | City | State/Province | Zip | Country | |
| | | | | | City |
| | | | | | State |
| | | | | | Country |

26. Name of each previously reported organization that is no longer affiliated with the registrant or client

| | | |
|---|---|---|
| 1 | 2 | 3 |
| | | |

FOREIGN ENTITIES

27. Add the following foreign entities:

| Name | Address | | | Principal place of business (city and state or country) | Amount of contribution for lobbying activities | Ownership percentage in client |
|------|----------------|----------------|---------|--|---|--------------------------------------|
| | Street Address | | | | | |
| | City | State/Province | Country | | | |
| | | | | City | | |
| | | | | State | | |
| | | | | Country | | % |

28. Name of each previously reported foreign entity that no longer owns, or controls, or is affiliated with the registrant, client or affiliated organization

| | | |
|---|---|---|
| 1 | 3 | 5 |
| 2 | 4 | 6 |